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Substitute for Form 1449A/PTO (Modified) (use as many sheets as necessary)		Attorney Docket No.: 042390.P9770	Application Number: 09/752,134			
Page 1 of 2		First Named Inventor: Gilbert Neiger, et al.				
		Filing Date: December 27, 2000				
<b>U.S. PATENT DOCUMENTS</b>						
Exam. Initial*	Cite No. <sup>1</sup>	U.S. Patent Document		Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number Code <sup>2</sup>	Kind (If known)			
KS		5,455,909		James S. Blomgren, et al.	10-03-1995	

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<b>FOREIGN PATENT DOCUMENTS</b>								
Exam. Initial*	Cite No. <sup>1</sup>	Foreign Patent Document			Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T <sup>6</sup>
		Office <sup>3</sup> Code <sup>5</sup>	Number <sup>4</sup>	Kind (If known)				
KS			EP0600112	A1	Siemens Nixdorf Information System	06-08-1994		X Abstract only
KS			EP0930567	A3	Texas Instruments, Inc.	07-21-1999		
KS			EP1146715	A1	ContentGuard Holdings, Inc.	10-17-2001		
KS			WO 98/34365		AT & T Corporation	08-06-1998		
KS			WO 98/44402		British Telecommunications Public Limited Company	10-08-1998		
KS			WO 99/05600		Apple Computer, Inc.	02-04-1999		
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KS			WO 99/57863		International Business Machines Corp.	11-11-1999		
KS			WO 00/62232		Digital Media On Demand, Inc.	10-19-2000		

**Technology Center 2100**

Examiner Signature	<i>Karin Schubert</i>	Date Considered	10/6/04
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<sup>1</sup>Unique citation designation number. <sup>2</sup>See attached Kinds of U.S. Patent Documents. <sup>3</sup>Enter Office that issued the document, by the two-letter code (WIPO Standard S.3). <sup>4</sup>For Japanese patent documents, the indication of the year of reign of the Emperor must precede the serial number of the patent document. <sup>5</sup>Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. <sup>6</sup>Applicant is to place a check mark here if English language Translation is attached.

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Substitute for Form 1449A/PTO (Modified) (use as many sheets as necessary)		Attorney Docket No.: 042390.P9770	Application Number: 09/752,134
Page 2 of 2		First Named Inventor: Gilbert Neiger, et al.	<b>RECEIVED</b> <b>DEC 04 2002</b> <b>Technology Center 2100</b>
		Filing Date: December 27, 2000	
<b>OTHER ART - NO PATENT LITERATURE DOCUMENTS</b>			
Examiner Initials*	Cite No <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published	Translation <sup>2</sup>
KS		BERG, Cliff, "How Do I Create A Signed Applet?" Dr. Dobb's Journal, August 1997, pages 1-9	
KS		GOLDBERG, Robert P., "Survey of Virtual Machine Research," IEEE Computer Magazine Vol. 7, No. 6, pages 34-45, 1974	
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Examiner Signature	<i>Karin Schubert</i>	Date Considered	10/6/04
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Substitute for Form 1449A/PTO (Modified)  <b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b> <small>(Use as many sheets as necessary)</small>				<b>Complete if Known</b>	
				Application Number	09/752,134
				Filing Date	12/27/00
				First Named Inventor:	G. Neiger, et al.
				Group Art Unit	2186
				Examiner Name	Unassigned
				Attorney Docket Number	042390.P9770
Sheet	1	of		4	

U.S. PATENT DOCUMENTS						
Exam. Initial*	Cite No. <sup>1</sup>	U.S. Patent Document		Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number known)	Kind Code <sup>2</sup> (if known)			
KS		2001/0021969	A1	Burger, Stephen, G., et al.	09-13-2001	
KS		2001/0027527	A1	Khidekel, Yuri, et al.	10-04-2001	
KS		4,037,214		Birney, Richard E. et al.	07-19-1977	
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KS		6,125,430		Karen L. Noel, et al.	09-26-2000	
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KS		6,249,872	B1	Frank L. Wildgrube, et al.	06-19-2001	

Examiner Signature		Date Considered	10/7/04
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<sup>1</sup>Unique citation designation number. <sup>2</sup>See attached Kinds of U.S. Patent Documents. <sup>3</sup>Enter Office that issued the document, by the two-letter code (WIPO Standard S.3). <sup>4</sup>For Japanese patent documents, the indication of the year of reign of the Emperor must precede the serial number of the patent document. <sup>5</sup>Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. <sup>6</sup>Applicant is to place a check mark here if English language Translation is attached.

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Substitute for Form 1449/PTO				<div style="text-align: center;"> <b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  <i>(use as many sheets as necessary)</i> </div>		
				<div style="text-align: center;"> <b>Complete if Known</b> </div>		
				Application Number	09/752,134	
				Filing Date	12/27/00	
				First Named Inventor:	G. Neiger, et al.	
				Art Unit	2186	
				Examiner Name	Unassigned	
				Attorney Docket Number	042390.P9770	
<div style="text-align: center;"> <b>U.S. PATENT DOCUMENTS</b> </div>						
Examiner Initials*	Cite No. <sup>1</sup>	Document Number		Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number-Kind Code <sup>2</sup> (if known)				
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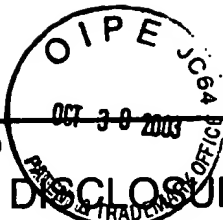
FOREIGN PATENT DOCUMENTS							
Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Document		Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T*
		Country Code <sup>3</sup>	Number <sup>4</sup> Kind Code <sup>5</sup> (if known)				
KS		DE	42177444 A1	12-03-1992	Hitachi Ltd.		
KS		EP	1030237 A1	08-23-2000	Hewlett Packard Company		
KS		JP	76139 A0	3-14-2000	Nippon Telgr. & Telph. Corp.		
KS		WO	97/29567 A1	08-14-1997	Fortress U & T, Ltd.		
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KS		WO	01/75595 A2	10-11-2001	Intel Corporation		
KS		WO	01/27723 A2	04-19-2001	Hewlett Packard Company		
KS		WO	01/27821 A2	04-19-2001	Hewlett Packard Company		
KS		WO	02/17555	02/28/2002	Verisign, Inc.		
KS		WO	02/086684	10/31/2002	Hewlett Packard		
Examiner Signature	Kevin Schubert				Date Considered	10/7/04	

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<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b> (use as many sheets as necessary)				Application Number	09/752,134
				Filing Date	12/27/00
				First Named Inventor:	G. Neiger, et al.
				Art Unit	2186
				Examiner Name	Unassigned
Sheet	4	of	4	Attorney Docket Number	042390.P9770
<b>NON PATENT LITERATURE DOCUMENTS</b>					
Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published			T <sup>2</sup>
ks		CHIEN, ANDREW A., et al., "Safe and Protected Execution for the Morph/AMRM Reconfigurable Processor," 7th Annual IEEE Symposium, FCCM '99 Proceedings 4/21/1999, pp. 209-221, XP010359180, ISBN: 0-7695-0375-6, Los Alamitos, CA.			
ks		HEINRICH, J., "MIPS R4000 Microprocessor User's Manual," Chapter 4, Memory Management, pages 61-97, 1993			
ks		IBM Technical Disclosure Bulletin, "Information Display Technique For A Terminate Stay Resident Program," Vol. 34, Issue No. 7A, Pages 156-158, December 1, 1991.			
ks		KARGER, PAUL A., et al., "A VMM Security Kernel for the VAX Architecture," Proceedings of the Symposium on Research in Security and Privacy, 5/7/1990, pp. 2-19, XP010020182, ISBN: 0-8186-2060-9, Boxborough, MA.			
ks		KASHIWAGI, KAZUHIKO, et al., "Design and Implementation of Dynamically Reconstructing System Software," Software Engineering Conference, 1996 Asia Pacific Seoul, South Korea, IEEE Comput. Soc. December 4, 1996, pages 278-287			
ks		PCT Search Report dated 7/29/03 (U.S. Patent No. '075 Previously cited).			
ks		PCT Search Report dated 7/22/03			
ks		ROBIN, JOHN SCOTT and IRVINE, CYNTHIA E., "Analysis of the Pentium's Ability to Support a Secure Virtual Machine Monitor," Proceedings of the 9th USENIX Security Symposium, 8/14/2000, pp. 1-17, XP002247347, Denver, CO.			
ks		TRUSTED COMPUTING PLATFORM ALLIANCE (TCPA), Main Specification Version 1.1a, 321 pages, Copyright 2000-2001			

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Examiner Signature	<i>Kevin Schubert</i>	Date Considered	10/7/04
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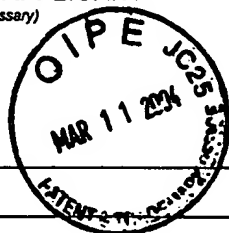
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# INFORMATION DISCLOSURE STATEMENT BY APPLICANT

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Application Number 09/752,134  
Filing Date December 27, 2000  
First Named Inventor Neiger, Gilbert  
Group Art Unit 2132  
Examiner Name Unknown

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Sheet 1 of 2

Attorney Docket No: 042390.P09770

## US PATENT DOCUMENTS

Examiner Initial *	USP Document Number	Publication Date	Name of Patentee or Applicant of cited Document	Class	Subclass	Filing Date If Appropriate

## FOREIGN PATENT DOCUMENTS

Examiner Initials*	Foreign Document No	Publication Date	Name of Patentee or Applicant of cited Document	Class	Subclass	T <sup>2</sup>
	EP-EP0473913	03/11/1992	Farrell, Joel A.			
	WO-WO02086684	10/31/2002	Proudler, Graeme J.			

## OTHER DOCUMENTS -- NON PATENT LITERATURE DOCUMENTS

Examiner Initials*	Cite No <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
KS		BRANDS, STEFAN, "Restrictive Blinding of Secret-Key Certificates", SPRINGER-VERLAG XP002201306, (1995), Chapter 3	
KS		CHIEN, ANDREW A., et al., "Safe and Protected Execution for the Morph/AMRM Reconfigurable Processor", 7th Annual IEEE Symposium, FCCM '99 Proceedings, XP010359180, ISBN 0-7695-0375-6, Los Alamitos, CA, (4/21/1999), 209-221	
KS		DAVIDA, GEORGE I., et al., "Defending Systems Against Viruses through Cryptographic Authentication", Proceedings of the Symposium on Security and Privacy, IEEE Comp. Soc. Press, ISBN 0-8186-1939-2, (May 1989),	
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KS		INTEL, "IA-32 Intel Architecture Software Developer's Manual", Volume 3: System Programming Guide, Intel Corporation - 2003, 13-1 through 13-24	
KS		KARGER, PAUL A., et al., "A VMM Security Kernel for the VAX Architecture", Proceedings of the Symposium on Research in Security and Privacy, XP010020182, ISBN 0-8186-2060-9, Boxborough, MA, (5/7/1990), 2-19	
KS		KASHIWAGI, KAZUHIKO, et al., "Design and Implementation of Dynamically Reconstructing System Software", Software Engineering Conference, Proceedings 1996 Asia-Pacific Seoul, South Korea 4-7 Dec. 1996, Los Alamitos, CA USA, IEEE Comput. Soc. US, ISBN 0-8186-7638-8, (1996),	
KS		LUKE, JAHN, et al., "Replacement Strategy for Aging Avionics Computers", IEEE AES Systems Magazine, XP002190614, (March 1999),	
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KS		ROBIN, JOHN S., et al., "Analysis of the Pentium's Ability to Support a Secure Virtual Machine Monitor", Proceedings of the 9th USENIX Security Symposium,	

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Kevin Schubert

DATE CONSIDERED

10/6/04



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**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

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Complete if Known

Application Number	09/752,134
Filing Date	December 27, 2000
First Named Inventor	Neiger, Gilbert
Group Art Unit	2132
Examiner Name	Unknown

Sheet 2 of 2

Attorney Docket No: 042390.P09770

**OTHER DOCUMENTS -- NON PATENT LITERATURE DOCUMENTS**

Examiner Initials*	Cite No <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
KS		XP002247347, Denver, Colorado, (8/14/00), 1-17	
KS		SAEZ, SERGIO, et al., "A Hardware Scheduler for Complex Real-Time Systems", <u>Proceedings of the IEEE International Symposium on Industrial Electronics</u> , XP002190615, (July 1999), 43-48	
KS		SHERWOOD, TIMOTHY, et al., "Patchable Instruction ROM Architecture", <u>Department of Computer Science and Engineering, University of California, San Diego, La Jolla, CA</u> , (Nov. 2001),	

RATIONALE OF  
the article (when appropriate),  
by date, page(s), volume-issue  
number, publisher, city and/or  
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Symposium, Proceedings  
of the IEEE International  
Symposium on Industrial  
Electronics, (July 1999), 43-48

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Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.  
SAEZ, SERGIO, et al., "A Hardware Scheduler for Complex Real-Time Systems", Proceedings of the IEEE International Symposium on Industrial Electronics, XP002190615, (July 1999), 43-48  
SHERWOOD, TIMOTHY, et al., "Patchable Instruction ROM Architecture", Department of Computer Science and Engineering, University of California, San Diego, La Jolla, CA, (Nov. 2001),

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Kevin Schubert

DATE CONSIDERED

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Substitute Disclosure Statement Form (PTO-1449)

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# Electronic Information Disclosure Statement



## Processor Mode for Limiting the Operation of Guest Software Running on a Virtual Machine Supported by a Virtual Machine Monitor

Application:   
09/752134

Confirmation: 8719

Applicant(s): Gilbert Neiger

Docket Number: 042390P9770

Group Art  
Unit:


Examiner: Unassigned

( 4,278,837 or 4,307,214 or 4,366,537 or 4,521,852 or 5,075,842 or 5,022,077 or 5,255,379 or 5,293,424 or 5,421,006 or 5,459,869 or 5,473,692 or 5,479,509 or 5,568,552 or 5,615,263 or 5,657,445 or 5,717,903 or 5,729,760 or 5,764,969 or 5,796,845 or 5,805,712 or 5,835,594 or 5,844,986 or 5,890,189 or 5,937,063 or 5,978,481 or 5,987,557 or 6,014,745 or 6,058,478 or 6,158,546 or 6,175,925 or 6,178,509 or 6,205,550 or 6,282,651 or 6,282,657 or 20010037450 ).pn.

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Note: Applicant is not required to submit a paper copy of cited US Patent Documents

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Note: Applicant is not required to submit a paper copy of cited US Patent Documents

init	Citation No.	Patent Number	Date	Bar Code	Patentee	Class	Subclass
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## Remarks

(Remarks are not for responding to an office action.)

Applicants, in accordance with their duty of disclosure under 37 CFR 1.56 and in accordance with 37 CFR 1.97(b)(3), hereby submit this Electronic Information Disclosure Statement citing U.S. Patent Documents for consideration by the Examiner. \* Pursuant to 37 CFR 1.97, the submission of this Electronic Information Disclosure Statement is not to be construed as a representation that a search has been made and is not to be construed as an admission that the information cited in this statement is material to patentability. \* This Information Disclosure Statement is being filed prior to a substantive examination of the claims. Pursuant to 37 CFR 1.97(b), no fee should be required for the filing of this Information Disclosure Statement. In the event it is determined that a fee is due, please charge the fee to Deposit Account 02-2666. \* Applicants respectfully requests that the cited documents be considered and that the form be initialed by the Examiner to indicate such consideration and a copy thereof be returned to Applicants' attorney of record. \*

## Signature

Examiner Name	Date
Kevin Schubert	10/6/04